

Applicant or Patentee: Yasmin Thanavala, et al.
Serial or Patent No: 09/420,695
Filed or Issued: October 19, 1999
For: ORAL IMMUNOLOGY USING PLANT PRODUCT
CONTAINING HEPATITIS SURFACE ANTIGEN

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) AND 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: Boyce Thompson Institute for Plant Research, Inc.
Address of Organization: Tower Road, Ithaca, New York 14853-1801

Type of Organization:

- ☐ University or other institute of higher education
- ☒ Tax exempt under Internal Revenue Service Code 26 USC 501(a) & 501(c)(3)
- ☐ Nonprofit scientific or educational under Statute of State of The United States of America (Name of State: , Citation of Statute:)
- ☐ Would qualify as tax exempt under Internal Revenue Service Code 26 USC 501(a) and 501(c)(3) if located in the United States of America
- ☐ Would qualify as nonprofit scientific or educational under statute of State of the United States of America if located in the United States of America (Name of State: , Citation of Statute:)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35 United States Code, to the Patent and Trademark Office with regard to the invention entitled: ORAL IMMUNOLOGY USING PLANT PRODUCT CONTAINING HEPATITIS SURFACE ANTIGEN

by inventors: Yasmin Thanavala and Charles Joel Arntzen

described in:

- ☐ the specification to be filed herewith
- ☒ Application Serial No. 09/420,695, Filed October 19, 1999
- ☐ Patent No. , Issued

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). *Note: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27)

Full Name: Yasmin Thanavala

Address: 157 Presidio Place, Williamsville, New York 14221

☒ individual ☐ small business concern ☐ nonprofit organization

Full Name: Charles Joel Arntzen

Address: 1005 Highland Road, Ithaca, New York 14850-1447

☒ individual ☐ small business concern ☐ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Charles J. Arntzen

Title in Organization: President

Address of Person Signing: Tower Road, Ithaca, New York 14853-1801

Signature: Charles J. Arntzen

Dated: 24 January 2000

Attorney Docket No. : RPP:156A US

Applicant or Patentee: Yasmin Thanavala and Charles J. Arntzen

Serial or Patent No: 09/420,695

Filed or Issued: October 19, 1999

For: ORAL IMMUNOLOGY USING PLANT PRODUCT
CONTAINING HEPATITIS SURFACE ANTIGEN

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) AND 1.27(b)) - INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled: ORAL IMMUNOLOGY USING PLANT PRODUCT CONTAINING HEPATITIS SURFACE ANTIGEN

described in:

- ☐ the specification to be filed herewith
- ☒ Application Serial No. 09/420,695, Filed October 19, 1999
- ☐ Patent No. , Issued

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern or organization
- ☐ persons, concerns or organizations listed below (Note: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27))

Full Name: Boyce Thompson Institute For Plant Research, Inc.

Address: Tower Road, Ithaca, New York 14853-1801

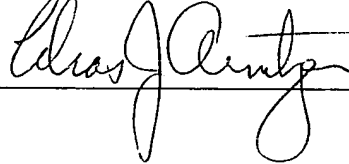
☐ individual ☐ small business concern ☒ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Inventor: Charles J. Arntzen

Signature of Inventor:



Dated: 24 January, 2000

RECORDATION FORM COVER SHEET

PATENTS ONLY

(Rev. 6-93)

OMB No. 0651-0011 (exp. 4/94)

Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Charles J. ArntzenAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: **Boyce Thompson Institute for Plant Research, Inc.**Internal Address: **Tower Road**Street Address: **same as above**City: **Ithaca** State: **New York** ZIP: **14853-1801**Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of Conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other _____Execution Date: **January 25, 2000**

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

09/420,695

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **Dunn & Associates**Internal Address: **P.O. Box 10**Street Address: **same as above**City: **Newfane** State: **NY** ZIP: **14108**6. Total number of applications and patents involved: **1**7. Total fee (37 CFR 3.41).....\$ **40.00**☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number:

(Attach duplicate copy of this page if paying by deposit account)

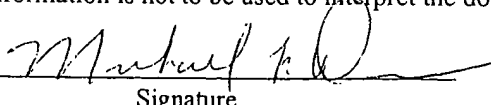
DO NOT USE THIS SPACE

9. Statement and signature.

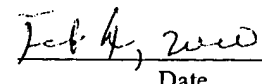
To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document; however, the above information is not to be used to interpret the document which speaks for itself.

Michael L. Dunn

Name of Person Signing



Signature



Date

Total number of pages including cover sheet, attachments, and document: **3**

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents & Trademarks, Box Assignments

Washington, D.C. 20231

ASSIGNMENT OF INVENTION

WHEREAS, I, CHARLES J. ARNTZEN residing at 1005 Highland Road, Ithaca, New York 14850-1447, have invented certain new and useful improvements in:

**ORAL IMMUNOLOGY USING PLANT PRODUCT CONTAINING
HEPATITIS SURFACE ANTIGEN**

for which I have made application for Letters Patent in the United States; and for which the specification was filed on October 19, 1999, and assigned U.S. Serial No. 09/420,695;

AND WHEREAS, BOYCE THOMPSON INSTITUTE FOR PLANT RESEARCH, INC., Tower Road, Ithaca, New York 14853-1801, a corporation of the State of New York, is desirous of acquiring all interest in said invention, said application disclosing the invention and any Letters Patent which may be granted therefor:

NOW THIS INDENTURE WITNESSETH, that for the sum of One Dollar, and other valuable consideration to me in hand paid, the receipt whereof is hereby acknowledged, I hereby assign, sell and transfer unto said BOYCE THOMPSON INSTITUTE FOR PLANT RESEARCH, INC. the entire right, title and interest in said invention, said application, including any divisions and continuations thereof, and in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted for said invention, and in and to any and all priority rights, Convention rights, and other benefits accruing or to accrue to me with respect to the filing of applications for patents or securing of patents in the United States and countries foreign thereto;

And I hereby authorize and request the Commissioner of Patents to issue said United States Letters Patent to said BOYCE THOMPSON INSTITUTE FOR PLANT RESEARCH, INC., as the Assignee of the whole right, title and interest thereto;

And I further agree to execute all necessary and lawful future documents, including assignments in favor of BOYCE THOMPSON INSTITUTE FOR PLANT RESEARCH, INC., or its designee as BOYCE THOMPSON INSTITUTE FOR PLANT RESEARCH, INC., or its

Assignee may from time-to-time present to me in order to perfect title in said invention, modifications, and improvements in said invention, applications and Letters Patent of the United States and countries foreign thereto;

And I further agree to sign and properly execute such necessary and lawful papers for application for foreign patents, for filing subdivisions of said application for patent, and/or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid invention, as the Assignee thereof shall hereafter require and prepare at its own expense.

WITNESS, my hand and seal this 25 day of January, 2000.

WITNESS:

Paula O'Keefe

Charles J. Arntzen
Charles J. Arntzen

WITNESS:

Tom Kuyke

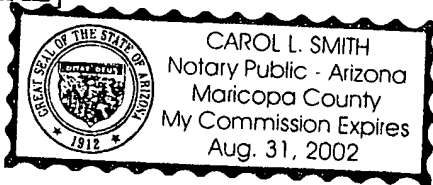
STATE OF ~~NEW YORK~~ Arizona

COUNTY OF Maricopa

SS:

On this 25 day of Jan in the year of 2000, before me, the subscriber, personally appeared CHARLES J. ARNTZEN to me known to be the person described in and who executed the foregoing instrument, and who acknowledged that he executed the same.

[SEAL]



Carol L. Smith
Notary Public

FILING RECEIPT
CORRECTED



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/420,695	10/19/99	1651	\$445.00 RPP:156A-US		0	20	3

DUNN & ASSOCIATES
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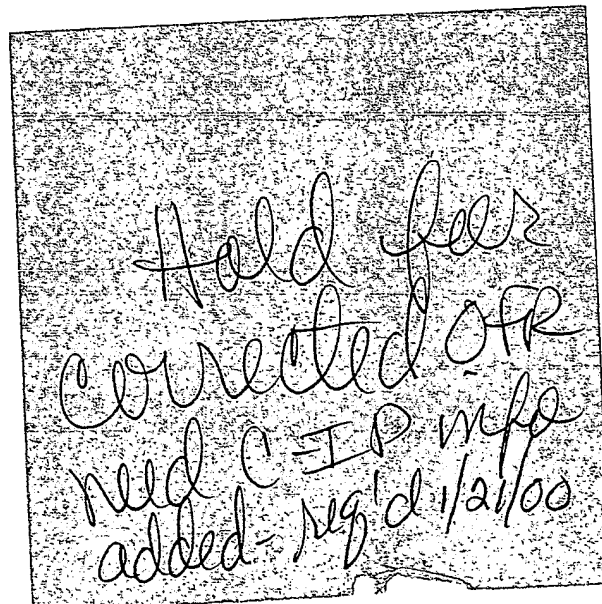
RECEIVED

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) YASMIN THANAVALA, WILLIAMSVILLE, NY; CHARLES JOEL
ARNTZEN, ITHACA, NY.

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 11/09/99 ** SMALL ENTITY **
TITLE
ORAL IMMUNOLOGY USING PLANT PRODUCT CONTAINING HEPATITIS SURFACE
ANTIGEN

PRELIMINARY CLASS: 424



DATA ENTRY BY: MIDDLETON, MATTIE TEAM: 04 DATE: 02/01/00

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Title 37, Code of Federal Regulations, 5.11 & 5.15

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The applicant has been granted a license under 35 U.S.C. 184, if the phrase "FOREIGN FILING LICENSE GRANTED" followed by a date appears on the reverse side of this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.11. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b).

The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.53(d). This license is not retroactive.

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The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.

The words "new," "improved," "improvement," "improvements in or relating to" are not included as the first words in the title of an application because a patent application is, by nature, a new idea or improvement.

The title may be truncated if it consists of more than 4 lines of 70 characters each (letters and spaces combined).

The inventor information may be truncated if the family name consists of more than 25 characters (letters and spaces combined) and if the given name consists of more than 25 characters (letters and spaces combined). The inventor's residence allows for up to 40 characters (letters and spaces combined).

The docket number allows a maximum of 12 characters.

If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

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